(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property Organization International Bureau



(43) International Publication Date 7 October 2004 (07.10.2004)

PCT

(10) International Publication Number WO 2004/085662 A1

(51) International Patent Classification7:

C12P 7/22

(21) International Application Number:

PCT/EP2004/002726

(22) International Filing Date: 17 March 2004 (17.03.2004)

(25) Filing Language:

English

(26) Publication Language:

English

(30) Priority Data:

103 13 971.0

27 March 2003 (27.03.2003) DE

(71) Applicant (for all designated States except US): DE-GUSSA AG [DE/DE]; Bennigsenplatz 1, 40474 Düsseldorf (DE).

(72) Inventors; and

(75) Inventors/Applicants (for US only): GRÖGER, Harald [DE/DE]; Akademiestrasse 31, 63450 Hanau (DE). ROLLMANN, Claudia [DE/DE]; Gunkelsrainstrasse 9, 63755 Alzenau (DE). HÜSKEN, Hendrik [DE/DE]; Auf dem Windhorst 28, 48565 Steinfurt (DE). WERNER, Helge [DE/DE]; Innerer Ring 17, 63486 Bruchköbel (DE). CHAMOULEAU, Francoise [FR/DE]; Freigerichtstrasse 23, 63450 Hanau (DE). HAGEDORN, Chad [US/US]; 3416 Heritage Trace Drive, Bellbrook, Ohio 45305 (US). DRAUZ, Karlheinz [DE/DE]; Zur Marienruhe 13, 63579 Freigericht (DE). HUMMEL, Werner [DE/DE]; Claudiusstrasse 11, 52445 Titz (DE).

- (74) Common Representative: DEGUSSA AG; Intellectual Property Management, PATENTE und MARKEN, Standort Hanau, Postfach 13 45, 63403 Hanau (DE).
- (81) Designated States (unless otherwise indicated, for every kind of national protection available): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BW, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DK, DM, DZ, EC, EE, EG, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NA, NI, NO, NZ, OM, PG, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, SY, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM, ZW.
- (84) Designated States (unless otherwise indicated, for every kind of regional protection available): ARIPO (BW, GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European (AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IT, LU, MC, NL, PL, PT, RO, SE, SI, SK, TR), OAPI (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

Declaration under Rule 4.17:

of inventorship (Rule 4.17(iv)) for US only

Published:

- with international search report
- before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: COUPLED COFACTOR-DEPENDENT ENZYMATIC REACTION SYSTEMS IN AQUEOUS MEDIA

(57) Abstract: The present application relates to a reaction system in which chemically valuable compounds can be obtained in high enantiomer concentrations with the aid of a coupled enzymatically operating transformation process. The coupled enzymatic reaction system comprises a cofactor-dependent enzymatic transformation of an organic compound and an enzymatic regeneration of the cofactor, wherein the reaction system operates in aqueous solution with an amount of substrate above the solubility limit thereof. In the preferred embodiments, an alcohol dehydrogenase is the cofactor-dependent enzyme, and the regeneration of the cofactor (e.g. NADH or NADPH) is acheved by means of formate dehydrogenase.



COUPLED COFACTOR-DEPENDENT ENZYMATIC REACTION SYSTEMS IN AQUEOUS MEDIA

The present invention relates to a coupled enzymatically operating reaction system for reduction of carbonyl compounds, which is distinguished in that it is carried out in an emulsion. In particular, the invention relates to a reaction system comprising a cofactor-dependent enzymatic transformation of an organic compound, preferably the reduction of a carbonyl compound, wherein the cofactor is regenerated enzymatically in the same system.

The production of optically active organic compounds, e.g. alcohols and amino acids, by a biocatalytic route is increasingly gaining importance. The coupled use of two dehydrogenases with cofactor regeneration has emerged as a route for the large-scale industrial synthesis of these compounds (DE19753350).

Equation 1:

In situ regeneration of NADH with the NAD-dependent formate dehydrogenase in the reductive amination of trimethyl pyruvate to give L-tert-leucine (Bommarius et al. Tetrahedron Asymmetry 1995, 6, 2851-2888).

In addition to their catalytic property and efficiency, the biocatalysts efficiently employed in an aqueous medium furthermore have the advantage that in contrast to a large number of synthetic metal-containing catalysts, the use of metal-containing starting substances, in particular those which contain heavy metals and are therefore toxic, can be dispensed with. The use of expensive and furthermore hazardous reducing agents, such as, for example, borane, in the case of asymmetric reduction can also be dispensed with.

Nevertheless, difficulties occur in the reaction of substrates which are poorly water-soluble. This affects in particular the preparation of alcohols from hydrophobic carbonyl compounds, in which the substrate solubility is often below 10 mM. Similar difficulties exist in the case of poorly water-soluble products. A solution which is conceivable in principle would be to carry out the biocatalytic reduction in a polar organic solvent or a 15 resulting homogeneous aqueous solution thereof. In this case, both the enzymes and the substrate and, where appropriate, the product should be water-soluble. A general disadvantage of a direct presence of an organic solvent, however, is the considerable reduction which 20 generally occurs in the enzyme activity under these conditions (see e.g. Anderson et al., Biotechnol. Bioeng. 1998, 57, 79-86). In particular, FDH as the only formate dehydrogenase employed hitherto on an industrial scale and accessible in commercial amounts unfortunately has a high 25 sensitivity towards organic solvents. This also manifests itself in the comparison examples 1 using DMSO, sulfolane, MTBE, acetone, isopropanol and ethanol as the organic solvent component in added amounts of in each case 10% (see fig. 1).

Various set-ups are known to solve this problem relating to stabilization of the formate dehydrogenase from Candida boidinii in the presence of organic solvents, e.g. carrying out reactions by the additional use of surfactants as surface-active substances. Disadvantages here, however, are the rate of reaction, which is reduced

by about a factor of 40 (!), and the inhibition of formate dehydrogenase which occurs (B. Orlich et al., Biotechnol. Bioeng. 1999, 65, 357-362.). The authors furthermore note that because of the low stability of the alcohol 5 dehydrogenase employed, a reduction process under these conditions of a microemulsion is not economical. In addition, there is a further problem in the working up, in which the resulting product must be separated from the surfactant, which has often proved to be not a trivial matter.

A possibility in principle also consists of carrying out enzymatic reactions or oxidations in a two-phase system. Here however - analogously to the abovementioned destabilizing effects in the presence of organic water-15 soluble solvents - only a particular class of organic solvents, namely those with a very hydrophobic character, such as, for example, heptane and hexane, has proved to be suitable. On the other hand, stability studies with other nonpolar solvents, such as toluene, but above all with 20 typical solvents such as MTBE and ethyl acetate, showed a drastic decrease in the activity of the formate dehydrogenase from Candida boidinii even in a very short service life (H. Gröger et al., Org. Lett. 2003, 5, 173-176). In the presence of heptane and hexane, in contrast, the reaction can indeed be carried out, but the solubility 25 of the ketone substrates in these solvents is often limited.

A further possibility in principle for carrying out biocatalytic reactions consists of the use of immobilized 30 enzymes in the organic solvent or the use of enzymes in a homogeneous solution comprising water and a water-miscible organic solvent. However, these techniques in which direct contact occurs between the organic solvent and enzyme are limited to a few enzyme classes, in particular hydrolases. 35 It is thus noted in DE4436149 that the "direct presence of organic solvents (water-miscible or water-immiscible) is tolerated by only a few enzymes which belong to the class of hydrolases". A few further examples from other enzyme classes have indeed since become known (thus, inter alia, oxynitrilases), but the statement made in DE4436149 is still applicable to the majority of enzymes. An efficient immobilization of the FDH from Candida boidinii is thus not known. Rather, for example, it is known with the Eupergit method, as a standard tool of industrial

- immobilization, that the residual activity of this FDH after immobilization is <20%, which is too low for an industrial utilization. Furthermore, the immobilization itself is associated with additional costs due to the immobilization step and the immobilization materials.
- Industrially, processes have therefore been developed which avoid the presence of organic solvents because of the risk of deactivation or denaturing of the enzymes.

 DE4436149 thus describes a process in which the product is extracted from the reaction solution into an organic
- solvent through a membrane, in particular a hydrophobic membrane, which is permeable to the product. Compared with a standard process in a stirred tank reactor, however, this process requires significantly more technical outlay, especially since the organic membranes required are also
- an additional cost factor. Furthermore, this method is suitable only for continuous processes. In addition, the disadvantage in principle of carrying out the reaction at low substrate concentrations also cannot be avoided with this method. Accordingly, the substrate concentrations are
- below the solubility limit, which for most ketones is 10 mM or considerably lower. However, substrate concentrations of 100 mM or above would be desirable for an industrial reaction.

Summarizing, it can be said that thus no process which 35 helps to bypass the abovementioned disadvantages is known.

The object of the present invention was therefore to provide a possibility such that, in particular, poorly water-soluble organic compounds can be rendered accessible to a coupled cofactor-dependent enzymatic reaction to an adequate extent such that the possibility can be used on an industrial scale under, in particular, economically and ecologically advantageous conditions.

This object is achieved according to the claims. Claims 1 to 10 relate to a reaction system which operates according 0 to the invention. Claims 11 and 12 protect a process according to the invention and claims 13 and 14 protect the advantageous use of the reaction system.

By providing a coupled enzymatic reaction system comprising a cofactor-dependent enzymatic transformation . 15 of an organic compound and an enzymatic regeneration of the cofactor in a purely aqueous solvent system without addition of surfactant, wherein the substrate is employed in the enzymatic transformation in an amount of at least 50 mM per litre of water, as long as this does not fall 20 below the solubility limit of the substrate, the stated object is achieved in particular in a surprising, in no way foreseeable and, according to the invention, particularly advantageous manner. In contrast to the opinion which can be deduced from the prior art, in 25 particular in view of the feared dramatic decreases in the activity of the enzymes and here in particular in that of the formate dehydrogenase from Candida boidinii in the presence of organic components with a logP value of <3.5 (under which also most of the substrates and products fall), it is possible, surprisingly and in spite of the direct presence of such organic components (substrates/ products), to operate the coupled enzymatic reaction system without a significant loss in activity (of one) of the enzymes. Comparison example 2 underlines this surprising effect; according to this drastic decrease in 35

activity observed in comparison example 2, with a virtually complete loss in activity of the FDH within only a few hours, it would have been expected that no significant conversions result under the reaction conditions according to the invention.

It is thus advantageous that an emulsion or a suspension is present in the reaction system at least initially. The amount of substrate employed is particularly preferably 50 to 1,500 mM, very particularly preferably 100 to 1,000 mM, and extremely preferably 100 to 500 mM per litre of water, as long as this does not fall below the solubility limit of the substrates.

The cofactor-dependent transformation is advantageously the reaction of an oxidoreductase. Carbonyl compounds, in particular aldehydes or unsymmetric ketones, can advantageously serve as the substrate for this type of conversion. These are reduced in an advantageous manner to enantiomerically enriched alcohols.

- However, it is also possible to employ an alcohol compound as the substrate, in particular a primary or a chiral secondary alcohol, which is then oxidized accordingly. The nature of the reactions is diverse and includes all types of redox reactions. The present reaction system is particularly suitable for the reduction of carbonyl
- compounds to form enantiomerically enriched alcohols. In this context, both the reduction of aldehydes to form primary alcohols (for this see also example 7) and the asymmetric reduction of unsymmetric ketones (for this see examples 3 to 6) are of particular importance.
- The reaction system can be operated with any cofactordependent oxidoreductase, where the cofactor is consumed
 by the oxidoreductase and can be regenerated by a second
 enzymatic system, that is to say the system is a coupled
 enzymatic system. Further suitable enzymes of this type
 can be found in the literature (Enzyme Catalysis in

Organic Synthesis; Ed.: K. Drauz, H. Waldmann, Vol. I and II, VCH, 1995).

An alcohol dehydrogenase or amino acid dehydrogenase has proved to be an enzyme which it is preferable to employ.

5 The nature of the regeneration of the cofactor primarily depends on the cofactor employed itself. Various methods of cofactor regeneration can be found in the abovementioned literature. Under the given framework conditions of solvent, enzymes and space/time yield, the expert has a free choice of the regeneration medium. In general, in respect of NAD+ as the cofactor (in oxidation reactions) an NADH oxidase from e.g. Lactobacillus brevis or L. kefir is suitable (DE10140088). In the case of reduction reactions, regeneration of the cofactor NADH by a formate dehydrogenase has furthermore also proved to be very successful. The use of the formate dehydrogenase from Candida boidinii is particularly advantageous in this connection.

The cofactors which are the most usual and operate most economically under the reaction conditions are preferably used as cofactors. These are, in particular, cofactor NADH or NADPH.

The present application also provides a process for the enzymatic transformation of an organic compound using the reaction system according to the invention. The process is preferably the preparation of an enantiomerically enriched organic compound, preferably a primary or a chiral secondary alcohol.

The process procedure can be implemented as desired by the expert, with the aid of the reaction system described and the examples described in the following. The conditions which are otherwise known for the enzymatic reaction are set accordingly under the given framework conditions. The reaction can thus preferably be carried out at temperatures of 10 to 80°C, preferably 20 to 60°C, and

very preferably 20 to 40°C. When setting the temperature, the expert will be guided by framework conditions such as e.g. speed of the reaction, yield, enzyme stability and by-product spectrum.

5 When the reaction is complete, the now homogeneous or heterogeneous reaction mixture can advantageously be treated in a manner in which the reaction mixture is separated into an aqueous and an organic phase, if appropriate by addition of an organic solvent, and the desired product is isolated from the organic phase.

The invention also relates to a device for the transformation of organic compounds comprising a reaction system according to the invention.

Devices which are advantageously to be employed are, for example, a stirred tank or cascades of stirred tanks.

One aspect of the invention is also the use of the reaction system according to the invention for the enzymatic transformation of organic compounds or for diagnosis or analysis. In this context, the enzymatic transformation of an organic compound is preferably carried out with the formation of enantiomerically enriched products.

According to the invention, coupled enzymatic system is understood as meaning that an enzymatic transformation of an organic compound proceeds with the consumption of a cofactor and the cofactor is regenerated in situ by a second enzymatic system. As a result, this leads to a reduction in the use of expensive cofactors, since these have to be employed only in catalytic amounts - based on the total conversion.

It is particularly surprising here that in spite of current doctrine the two enzymes employed are not impaired by the presence of the emulsion and it is thus possible to

35

prepare the desired products in very good space/time yields.

As has been shown, for both aldehydes and ketones - in contrast to most organic solvents (see comparison 5 examples), which lead to rapid deactivation of the FDH employed - outstanding stability properties of the enzymes, in particular the very unstable formate dehydrogenase, can also still be observed after several days even at high substrate concentrations. In addition, 10 the rapid course of the reaction, which takes place at a rate similar to that at very low ketone concentrations in purely aqueous solution (that is to say under theoretically the most optimum conditions), is very surprising. This rapid formation rate under the process 15 conditions was in no way at all to be expected, last but not least also in view of the considerable decreases in activity on addition of ketone substrates in small amounts of <15 mM (see comparison example 2). Rather, on the basis of these considerable losses in activity even in the 20 presence of small amounts of ketone it would have been expected that if the substrate concentration is increased further, no or only a low conversion takes place. In contrast to this expectation, the desired reaction surprisingly not only proceeds extremely rapidly under the 25 process conditions, but also surprisingly leads to a complete conversion.

The results with the new reaction system according to the invention are reproduced in the experimental part. The comparison examples with other organic solvents are shown in fig. 1.

The process is carried out both with the wild-type of the formate dehydrogenase from Candida boidinii and with a form of this enzyme modified by genetic engineering (DE19753350). As stated, NADH is preferably employed as the cofactor. For the experimental studies, for example,

WO 2004/085662 PCT/EP2004/002726

10

an ADH from Rhodococcus, preferably Rhodococcus erythropolis, can be employed as the ADH component.

In general, the enzymes employed can be used for the reaction in a cell free native or recombinantly prepared form purified as desired. In this context, crude extracts are also preferably employed.

A main advantage of this process is the simplicity of the process. Thus, it comprises no expensive process steps, and the process can be carried out in the preferred batch reactors. Likewise, in contrast to earlier processes no special membranes which separate the aqueous medium from the organic medium are required. The surfactant additions required in some processes to date are also omitted in this process. This was not to be seen from the prior art and nevertheless makes the present process extremely advantageous.

10

15

.25

Moreover, the further downstream processing is extremely simple. A simple extraction with a water-insoluble organic solvent leads to a simple method of isolation of the 20 product formed. The possible quantitative conversion moreover renders possible the existence of a crude product which is already highly pure - after evaporation of the organic extraction agent in vacuo. An expensive purification of the product from a (possibly also) highboiling substrate is accordingly dispensed with.

Enantiomerically enriched or enantiomer-enriched describes the fact that one optical antipode is present in a mixture with its other to >50%.

The structures shown relate to all the possible 30 diastereomers and, in respect of a diastereomer, to the two possible enantiomers of the compound in question which fall under this.

The process according to the invention is illustrated by the examples described below.

Experimental part:

Example 1 (comparison examples of FDH activities)

- 2.72 g (0.8 mol/l) sodium formate and 1.14 g (0.1 mol/l)di-potassium hydrogen phosphate trihydrate are weighed out and are dissolved in 40 ml of completely demineralized ${\rm H}_2{\rm O}$. The pH of the solution is adjusted to 8.2 with ammonia solution (25%) and formic acid (100%) or appropriate dilutions. The solution is then transferred to a 50 ml volumetric flask and topped up with completely demineralized H_2O . Separately to this, 71.7 mg (4 mmol/l) NAD trihydrate are weighed out and dissolved in approx. 20 ml of completely demineralized ${\rm H}_2{\rm O}$. The pH of the solution is adjusted to 8.2 with ammonia solution (25%) and formic acid (100%) or appropriate dilutions. The 15 solution is then transferred to a 25 ml volumetric flask and topped up with completely demineralized H2O. In each case 500 µl of the substrate solution and of the NADH solution are then mixed in the 1 cm cell used for the measurement. After addition of 10 µl of the enzyme solution, a 10% solution of an organic solvent (see table) 20 in water being employed as the solvent, the mixture is shaken briefly, the cell is placed in the photometer and recording of the data is started. The enzyme solution is added only directly before the start of the measurement. The activities of the enzymes are determined after certain 25 intervals of time by photometric detection of the reaction
- intervals of time by photometric detection of the reaction of NAD⁺ to give NADH. The photometric measurement was carried out at a temperature of 30°C and a wavelength of 340 nm with a measurement time of 15 min. The results are shown in the following in table 1 and table 2.

 ${f Tab.}$ 1. Enzyme activity of the FDH in U/ml as a function of the solvent and time

Time	Butanol	MEK	DMSO	THF	Sulfolan	e Acetonitrile
[d] .	Activity [U/ml]	Activity [U/ml]	Activity [U/ml]	Activity [U/ml]	Activity [U/ml]	Activity [U/ml]
0.000	0.5262	0.0058	0.7965	0.8492	0.0028	0.7961
0.042	0.0006	0.0011	0.7880	0.4357	0.0003	0.4494
0.125			0.7794	0.0414	·	0.0840
1.097		٠.	0.2669			0.0008
2.035		•	0.2331			•
2.896			0.2201		1	
5.927			0.1763		. 1	
7.885			0.1404			
9.948		•	0.1205			
13.073			0.0915			
14.892			0.0717			
16.875			0.0540			
19.938			0.0355			·

Tab. 2. Enzyme activity of the FDH in U/ml as a function of the solvent and time

Time	Acetone	Ethanol
(d)	Activity	Activity
	[U/ml]	[U/ml]
0.000	0.8355	0.8491
0.042	0.7402	0.7689
0.750	0.5893	0.6367
1.000	0.5426	0.5933
1.875	0.3484	0.4687
2.760	0.2691	0.3510
3.781	0.2004	0.2814
4.646	0.1614	0.2240
5.875	0.1325	0:1736
6.778	0.0987	0.1486
7.792	0.0794	0.1277
8.729	0.0610	0.0998
11.750	0.0333	0.0536
13.726		0.0421

Example 2 (comparison example; measurement of the FDH long-term activities in the presence of 2',3-dichloroacetophenone as an additive)

The activities of the formate dehydrogenase were measured in accordance with the procedure described in comparison example 1, but without the use of an organic solvent. In this context, various amounts of ketone concentration of 2',3-dichloroacetophenone were added as an additive. The resulting course of the stability is shown in fig. 2. When 2',3-dichloroacetophenone was used, a rapid deactivation took place within 5 hours at substrate concentrations of >10 mM.

Example 3: Reaction with 2-chloroacetophenone at 250 mM

A reaction mixture, comprising ortho-chloroacetophenone (2-chloroacetophenone; 250 mM), as well as NADH (0.04 equivalent, based on the ketone), and sodium formate (5.5 equivalents, based on the ketone) at enzyme amounts of 60 U/mmol of an (S)-ADH from R. erythropolis (expr. in 20 E. coli) and 60 U/mmol of a formate dehydrogenase from Candida boidinii (double mutants: C23S, C262A; expr. in E. coli), is stirred at a reaction temperature of 30°C over a period of 72 hours in 50 ml of a phosphate buffer (100 mM; pH 7.0). Samples are taken during this period of time and 25 the particular conversion is determined via HPLC. After 72 hours, complete conversion of the ketone to the desired alcohol was found. The organic components are then extracted with 2 x 50 ml methyl tert-butyl ether, the aqueous phase is discarded and the organic phase is dried. The filtrate which results after filtration is freed from 30 the readily volatile constituents in vacuo and the resulting residue is investigated in respect of the formation rate by analysis via HPLC and 1H nuclear magnetic

resonance spectroscopy. A formation rate of >99% was determined (fig. 3).

Example 4: Reaction with 2-chloroacetophenone at 400 mM

- A reaction mixture, comprising ortho-chloroacetophenone (2-chloroacetophenone; 400 mM, based on the total volume), as well as NADH (0.04 equivalent, based on the ketone), and sodium formate (5.5 equivalents, based on the ketone) at enzyme amounts of 60 U/mmol of an (S)-ADH from R.
- erythropolis (expr. in E. coli) and 60 U/mmol of a formate dehydrogenase from Candida boidinii (double mutants: C23S, C262A; expr. in E. coli), is stirred at a reaction temperature of 30°C over a period of 46.5 hours in 12 ml of a phosphate buffer (100 mM; pH 7.0), the total volume
- being 20 ml. Samples are taken during this period of time and the particular conversion is determined via HPLC. After 46.5 hours, complete conversion of the ketone to the desired alcohol was found via HPLC (fig. 4).

20 Example 5: Reaction with 4-chloroacetophenone at 250 mM

A reaction mixture, comprising para-chloroacetophenone (4-chloroacetophenone; 250 mM, based on the total volume), as well as NADH (0.04 equivalent, based on the ketone), and sodium formate (5.5 equivalents, based on the ketone) at

- enzyme amounts of 60 U/mmol of an (S)-ADH from R. erythropolis (expr. in E. coli) and 60 U/mmol of a formate dehydrogenase from Candida boidinii (double mutants: C23S, C262A; expr. in E. coli), is stirred at a reaction temperature of 30°C over a period of 46.5 hours in 15 ml
- of a phosphate buffer (100 mM; pH 7.0), the total volume being 20 ml. Samples are taken during this period of time and the particular conversion is determined via HPLC.

After 46.5 hours, a conversion of >99% of the ketone to the desired alcohol was found (fig. 5).

Example 6: Reaction with 2',3-dichloroacetophenone at 5 300 mM

A reaction mixture, comprising alpha, metadichloroacetophenone (2',3-dichloroacetophenone; 300 mM, based on the total volume), as well as NADH (0.04 equivalent, based on the ketone), and sodium formate (5.5 equivalents, based on the ketone) at enzyme amounts of 60 U/mmol of an (S)-ADH from R. erythropolis (expr. in E. coli) and 60 U/mmol of a formate dehydrogenase from Candida boidinii (double mutants: C23S, C262A; expr. in E. coli), is stirred at a reaction temperature of 30°C over a 15 period of 46.5 hours in 14 ml of a phosphate buffer (100 mM; pH 7.0), the total volume being 20 ml. Samples are taken during this period of time and the particular conversion is determined via HPLC. After 46.5 hours, a conversion of >98% of the ketone to the desired alcohol was found (fig. 6). 20

Example 7: Reaction with cinnamaldehyde at 100 mM

A reaction mixture, comprising cinnamaldehyde (100 mM, based on the amount of buffer employed), as well as NADH (0.2 equivalent, based on the ketone), and sodium formate (5.0 equivalents, based on the ketone) at enzyme amounts of 20 U/mmol of an (S)-ADH from R. erythropolis (expr. in E. coli) and 20 U/mmol of a formate dehydrogenase from Candida boidinii (double mutants: C23S, C262A; expr. in E. coli), is stirred at a reaction temperature of 30°C over a period of 24.25 hours in 10 ml of a phosphate buffer (100 mM; pH 7.0). Samples are taken during this period of time and the particular conversion is determined via HPLC.

After 24.25 hours, a conversion of >95% of the aldehyde to the desired alcohol was found (fig. 7).

5.

Patent claims:

- 1. Coupled enzymatic reaction system comprising a cofactor-dependent enzymatic transformation of an organic compound and an enzymatic regeneration of the cofactor in a purely aqueous solvent system without addition of surfactant, wherein the substrate is employed in the enzymatic transformation in an amount of at least 50 mM per litre of water, as long as this does not fall below the solubility limit of the substrate.
- 2. Reaction system according to claim 1, characterized in that an emulsion or a suspension is present in the reaction system at least initially.
- 15 3. Reaction system according to one or more of the preceding claims, characterized in that the substrate concentration is at least initially 50 to 1,500 mM, preferably 100 to 1,000 mM, and very 20 preferably 100 to 500 mM per litre of water, as long as this does not fall below the solubility limit of the substrate.
- Reaction system according to one or more of the preceding claims, 25 characterized in that a carbonyl compound, in particular an aldehyde or an unsymmetric ketone, is employed as the substrate.
- Reaction system according to one or more of the preceding claims, 30 characterized in that an alcohol compound, in particular a primary or a chiral secondary alcohol, is employed as the substrate.

- 6. Reaction system according to one or more of the preceding claims, characterized in that NADH or NADPH is employed as the cofactor.
- 7. Reaction system according to one or more of the preceding claims, characterized in that the reaction is carried out at temperatures of 10 to 80°C, preferably 20 to 60°C, and very particularly preferably 20 to 40°C.
- 8. Reaction system according to one or more of the preceding claims, characterized in that a dehydrogenase is employed as the enzyme for the transformation of the organic compound.
 - 9. Reaction system according to claim 8, characterized in that an alcohol dehydrogenase is employed.
- 10. Reaction system according to one or more of the
 20 preceding claims,
 characterized in that
 the regeneration of the cofactor takes place by means
 of a formate dehydrogenase, in particular a formate
 dehydrogenase from Candida boidinii.
- 25 11. Process for the preparation of organic compounds, characterized in that a reaction system according to one or more of the preceding claims is used.
- 12. Process according to claim 11,
 30 characterized in that
 the reaction mixture is separated into an aqueous and
 an organic phase, if appropriate by addition of an

organic solvent, and the desired product is isolated from the organic phase.

- 13. Use of the reaction system according to claim 1 for the enzymatic transformation of organic compounds or for diagnosis or analysis.
- 14. Use according to claim 13 in a process for the preparation of enantiomerically enriched organic compounds.

Fig. 1:

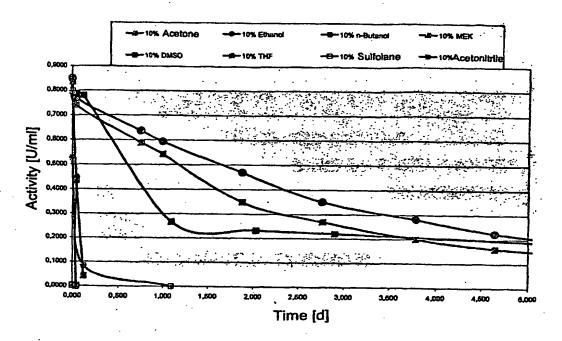


Fig. 2:

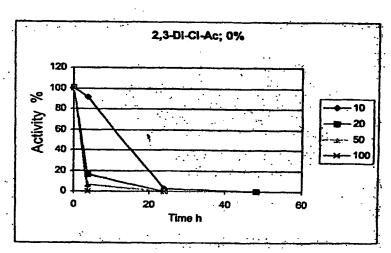
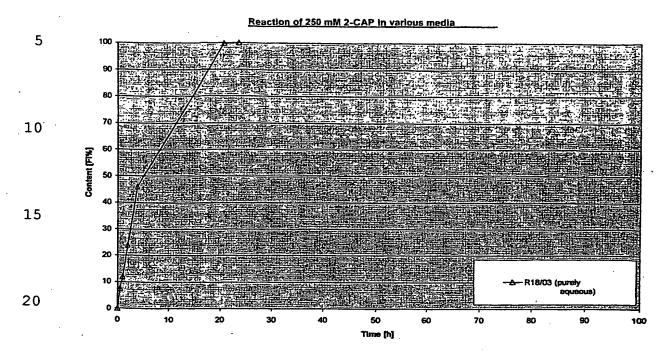
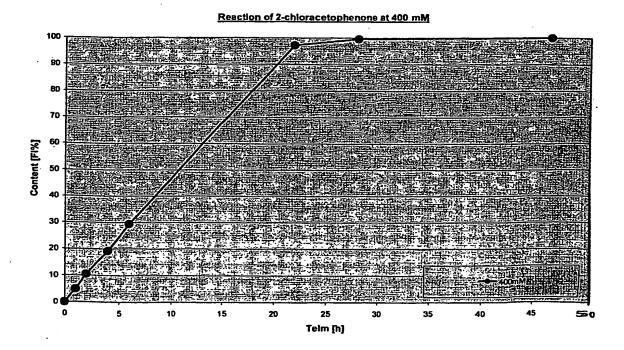


Fig. 3



25 Fig. 4.



30/550556



Fig. 5:

Reaction of 4-chloroacetophenone at 250 mM

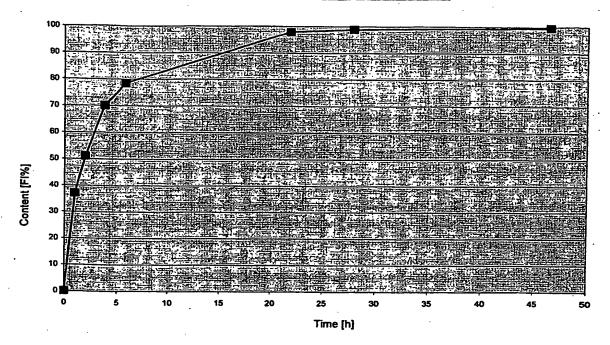


Fig. 6

Reaction of 2',3-dichloroacetophenone at 300 mM

4/4

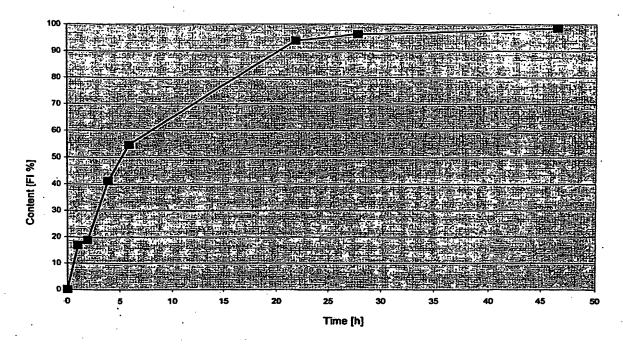
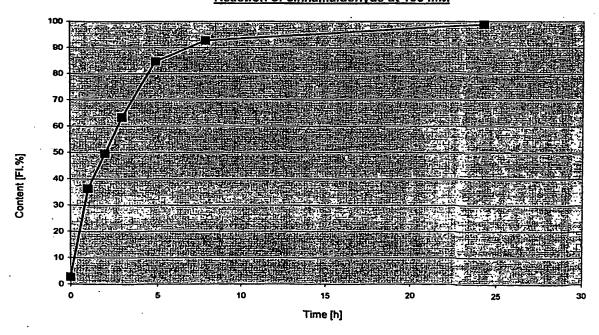


Fig. 7:

Reaction of cinnamaldehyde at 100 mM



T/EP2004/002726

A. CLASSIFICATION OF SUBJECT MATTER IPC 7 C12P7/22

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols) IPC 7 C12P

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, PAJ, CHEM ABS Data

A* document defining the general state of the ant which is not considered to be of particular relevance E* earlier document but published on or after the international filling date L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) O* document referring to an oral disclosure, use, exhibition or other means **Comment published after the international filling date out later than the priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention **Coursent of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention of involve an inventive step when the document of particular		ENTS CONSIDERED TO BE RELEVANT		
FOR THE ENZYMATIC REDUCTION OF POORLY SOLUBLE KETONES" JOURNAL OF MOLECULAR CATALYSIS. B, ENZYMATIC, ELSEVIER, AMSTERDAM,, NL, vol. 4, no. 1/2, 2 January 1998 (1998-01-02), pages 91-99, XP001155214 ISSN: 1381-1177 abstract; figures 1-2; paragraph joining pages 93 and 94 -/- X Patent family members are listed in annex. Special categories of clied documents: A' document defining the general state of the ait which is not considered to be of particular relevance. E' earlier document but published on or after the international filing date or priority date and not in conflict with the application but clied to understand her priority or the claimed invention in which is clied to establish the publication date of another cliation or other special reason (as specified) "Y document of particular relevance in claimed invention cannot be considered to envelope and disclosure, use, exhibition or other special reason (as specified) "Y document of particular relevance in elamed invention cannot be considered to involve an inventive step when the document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is cambined with one or more other such documents, such combination being obvious to a person skilled in the air. "A' document member of the same patent family Date of mailing of the international search report	Category •	Citation of document, with indication, where appropriate, of the	he relevant passages	Relevant to claim No.
ENZYMATIC, ELSEVIER, AMSTERDAM,, NL, vol. 4, no. 1/2, 2 January 1998 (1998–01–02), pages 91–99, XP001155214 ISSN: 1381–1177 abstract; figures 1–2; paragraph joining pages 93 and 94 ——— X Further documents are listed in the continuation of box C. Special categories of cited documents: A' document defining the general state of the at which is not considered to be of particular relevance: earlier document but published on or after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underfying the invention or which is cited to establish the publication date of another citation or other special reason (as specified) D' document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) C' document published prior to the international filing date but later than the priority date claimed ate of the actual completion of the international search Date of mailing of the international search report	X	FOR THE ENZYMATIC REDUCTION OF SOLUBLE KETONES"	POORLY	1-14
abstract; figures 1–2; paragraph joining pages 93 and 94 —/— X Further documents are listed in the continuation of box C. X Patent family members are listed in annex. Y document defining the general state of the art which is not considered to be of particular relevance elegater document but published on or after the international filling date or priority date and not in conflict with the application but clied to understand the principle or theory underlying the invention cannot be considered to expect the claimed invention cannot be considered to involve an invention cannot be considered to involve an invention cannot be considered to involve an inventive step when the document state than the priority date claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other special control to the international filing date but tater than the priority date claimed in the art. **T tater document published after the international filing date or priority date and not in conflict with the application but clied to understand the principle or theory underlying the invention cannot be considered in overlance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such document such combination being obvious to a person skilled in the art. **A document member of the same patent family Date of mailing of the international search		ENZYMATIC, ELSEVIER, AMSTERDAM vol. 4, no. 1/2, 2 January 1998 (1998-01-02), p XP001155214	l,, ŃL,	
Special categories of cited documents: A' document defining the general state of the art which is not considered to be of particular relevance E' earlier document but published on or after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention cannot be considered novel or cannot be considered in involve an invention cannot be considered to invention cannot be considered to involve an invention ca		abstract; figures 1-2; paragra	ph joining	
Special categories of cited documents: A' document defining the general state of the art which is not considered to be of particular relevance E' earlier document but published on or after the international filling date L' document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) O' document referring to an oral disclosure, use, exhibition or other means P' document published prior to the international filling date but later than the priority date claimed T' later document published after the international filling date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention cannot be considered novel or cannot be considered novel or cannot be considered novel or cannot be considered to involve an invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art. S' document member of the same patent family Date of mailing of the international search report		. 	-/	
Special categories of cited documents: A' document defining the general state of the art which is not considered to be of particular relevance E' earlier document but published on or after the international filling date L' document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) O' document referring to an oral disclosure, use, exhibition or other means P' document published prior to the international filling date but later than the priority date claimed T' later document published after the international filling date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention to particular relevance; the claimed invention cannot be considered novel or cannot be considered novel or cannot be considered to involve an inventive step when the document is combined with one or more other such documents; such combination being obvious to a person skilled in the art. S' document member of the same patent family Date of mailing of the international search report	·			
A* document defining the general state of the ant which is not considered to be of particular relevance E* earlier document but published on or after the international filling date L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) D* document referring to an oral disclosure, use, exhibition or other means C* document published after the international filling date out later than the priority date and not in conflict with the application but alter than the priority date and not in conflict with the application but of priority date and not in conflict with the application but it or priority date and not in conflict with the application but of priority date and not in conflict with the application but it determents on the priority date and not in conflict with the application but of priority date and not in conflict with the application but it determents on the priority date and not in conflict with the application but olded to understand the priority date and not in conflict with the application but olded to understand the priority date and not in conflict with the application but on priority date and not in conflict with the application but onlict of the original than the priority date and not in conflict with the application but of cled to understand the priority date and not in conflict with the application but onlict of the original than the priority date and not in conflict with the application but onlict twith the application but onlict with the application but onlict of the invention or annot be considered novel or cannot be considered novel or cannot be considered to involve an inventive step when the document is combined with one or more other such document is combined with one or more other such document is combined with one or more other such document is combined with one or more other such document is combined with one or more other such document is combined with one or more other su	X Furth	er documents are listed in the continuation of box C.	X Patent family members	are listed in annex.
L' document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) O' document referring to an oral disclosure, use, exhibition or other means P' document published prior to the international filing date but later than the priority date claimed Oate of the actual completion of the international search Complete the considered novel or cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art. *& document member of the same patent family Date of mailing of the international search report	A° documer	nt defining the general state of the art which is not ared to be of particular relevance	or priority date and not in co cited to understand the prin invention	onflict with the application but aciple or theory underlying the
Or document referring to an oral disclosure, use, exhibition or other means or document published prior to the international filing date but later than the priority date claimed attention of the international search Date of malling of the international search report	ning da L' documen which is	ue it which may throw doubts on priority claim(s) or sided to establish the publication date of another	cannot be considered nove involve an inventive step will "Y" document of particular relevant	l or cannot be considered to hen the document is taken alone ance; the claimed invention
ate of the actual completion of the international search Date of mailing of the international search report	O' docume: other m	nt referring to an oral disclosure, use, exhibition or leans	document is combined with ments, such combination be	one or more other such docu-
	iater ina	an the priority date claimed	*&* document member of the sar	
	01 1113 81	Source of the international search	Date of mailing of the interna	ational search report
		August 2004	17/08/2004	

Fausti, S

European Patent Office, P.B. 5818 Patentlaan 2 NL - 2280 HV Rijswijk Tel. (+31-70) 340-2040, Tx. 31 651 epo ni, Fax: (+31-70) 340-3016

PCT/EP2004/002726

Relevant to claim No.
1-9,
s" IN
3-322, nd
ric 1-14 y of a action
, US,
n, hand tables
1-14 e h lis."
regio- of

PCT/EP2004/002726

		PCT/EP200	14/ 002/20
C.(Continu	ation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category *	Citation of document, with indication, where appropriate, of the relevant passages		Relevant to claim No.
Y	KATO T ET AL: "An enzymatic cycling method for nicotinamide-adenine dinucleotide with malic and alcohol dehydrogenases." ANALYTICAL BIOCHEMISTRY. MAY 1973, vol. 53, no. 1, May 1973 (1973-05), pages 86-97, XP001173033 ISSN: 0003-2697 abstract		13
Y	KATO T ET AL: "Enzymatic determination of galactosylceramide galactosidase in tissues by NAD cycling." ANALYTICAL BIOCHEMISTRY. OCT 1982, vol. 126, no. 1, October 1982 (1982-10), pages 44-51, XP009032385 ISSN: 0003-2697 abstract		13
Α	US 6 242 234 B1 (KULA MARIA-REGINA ET AL) 5 June 2001 (2001-06-05) cited in the application scheme 1; examples 6 and 7		
		·	
	·		



Information on patent family members

PCT/EP2004/002726

Patent document cited in search report	:	Publication date		Patent family member(s)	Publication date
US 6242234	B1	05-06-2001	DE	19753350 A1	10-06-1999
			ΑT	233815 T	15-03-2003
			CA	2253021 A1	03-06-1999
			DE	59807382 D1	10-04-2003
			EP	0926240 A2	30-06-1999
			JP	11225784 A	24-08-1999

This Page is inserted by IFW Indexing and Scanning Operations and is not part of the Official Record

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

BLACK BORDERS
IMAGE CUT OFF AT TOP, BOTTOM OR SIDES
FADED TEXT OR DRAWING
BLURED OR ILLEGIBLE TEXT OR DRAWING
SKEWED/SLANTED IMAGES
☐ COLORED OR BLACK AND WHITE PHOTOGRAPHS
☐ GRAY SCALE DOCUMENTS
☐ LINES OR MARKS ON ORIGINAL DOCUMENT
☐ REPERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY
□ OTHER:

IMAGES ARE BEST AVAILABLE COPY.
As rescanning documents will not correct images problems checked, please do not report the problems to the IFW Image Problem Mailbox